



10780313 - GAB

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10780,313	
	Filing Date	Feb 17, 2004	
	First Named Inventor	Opperman, Daniel	
	Art Unit	3628	
	Examiner Name	Harbeck, Timothy M.	
Total Number of Pages in This Submission	9	Attorney Docket Number	G08.072/U

ENCLOSURES (Check all that apply)		
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<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
First Name	Buckley, Maschoff & Talwalkar LLC	
Signature		
Printed name	Nathaniel Levin	
Date	September 25, 2006	Reg. No. 34,860

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature			
Typed or printed name	Edith Martin	Date	September 25, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /H.A./



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: OPPERMAN et al.

Application No.: 10/780,313

Filing Date: February 17, 2004

For: METHODS AND APPARATUS FOR  
FACILITATING FINANCIAL  
INSTRUMENT TRADING ORDERS

) Group Art Unit: 3628

) Examiner: Harbeck, Timothy M.

) **INFORMATION DISCLOSURE  
STATEMENT**

) Attorney Docket No.: G08.072/U

) **PTO Customer Number 28062**

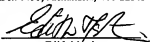
) Buckley, Maschoff &amp; Talwalkar LLC

) Five Elm Street

) New Canaan, CT 06840

## CERTIFICATE OF MAILING UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on September 25, 2006.

Dated: September 25, 2006 By: 

Edith Martin

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.97(b);  
(within 3 months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)
- ☒ under 37 CFR 1.97(c) together with either a:
- ☒ The following Statement under 37 CFR 1.97(e): That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement, or

- ☐ \$ \_ fee under 37 CFR 17(p); or  
(after 37 CFR 1.97(b) time period, but before final action or notice of allowance,  
whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
- ☐ Statement under 37 CFR 1.97(e),
  - ☐ Petition under 37 CFR 1.97(d)(2)(ii), and
  - ☐ \$ \_ petition fee under 37 CFR 17(i).  
(after 37 CFR 1.97(c) time period, but before payment of issue fee)

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a thorough search has been made, an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 CFR §§1.56, 1.97 and 1.98. The items listed on the accompanying Form PTO-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items listed on the enclosed copy of Form PTO-1449 and to independently ascertain their teaching.

The items listed herein were cited in a 9 January 2006 PCT International Preliminary Report in a counterpart PCT application. A copy of the International Preliminary Report is also enclosed.

Respectfully submitted,



Nathaniel Levin  
Registration No. 34,860  
Buckley, Maschoff & Talwalkar LLC  
Five Elm Street  
New Canaan, CT 06840  
(203) 972-3460

September 25, 2006  
Date

Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

2

**Complete if Known**

<b>Application Number</b>	10/780.313
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<b>Filing Date</b>	February 17, 2004
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First Named Inventor	OPPERMAN, Daniel
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Group Art Unit	3628
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Examiner Name	Harbeck, Timothy M.
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Attorney Docket Number	G08.072/U
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## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	/Hatem Ali/ Mohamed Ali/	Date Considered	10/21/2011 11/29/2007
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Application Number	10/780,313	
			Filing Date	February 17, 2004	
			First Named Inventor	OPPERMAN, Daniel	
			Group Art Unit	3628	
			Examiner Name	Harbeck, Timothy M.	
Sheet	2	of	2	Attorney Docket Number	G08.072/U

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/MA/		"PCT International Preliminary Report of the International Searching Authority", mailed 9 January 2006, for PCT/US2004/041043, 4pgs.	

Examiner Signature	/Mohamed Ali/	Date Considered	11/29/2007
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